DOCUMENT RESUME

ED 220 959 EA 014 944

AUTHOR Huling, Leslie; And Others
TITLE Effects of Principal Interventions on Teachers during the Change Process.
INSTITUTION Texas Univ., Austin. Research and Development Center for Teacher Education.
SPONS AGENCY National Inst. of Education (ED), Washington, DC.
PUB DATE Mar 82
NOTE 30p.; Paper presented at the Annual Meeting of the American Educational Research Association (New York, NY, March 19-23, 1982).

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Administrator Role; Case Studies; Change Agents; *Change Strategies; Elementary Secondary Education; Inservice Teacher Education; *Instructional Innovation; *Intervention; Leadership Responsibility; *Principals; *Teacher Administrator Relationship; *Teacher Improvement
IDENTIFIERS *Concerns Based Adoption Model; Principal Teacher Interaction Study

ABSTRACT

Research studies cited show that principals do have some authority over how they use their time, resources, and power. The intent of this paper is to point out that it is important for principals to work with teachers for the purpose of improving teaching, that the principal has a choice as to what interventions to make in striving toward this goal, and that the effects on teachers are related to the interventions selected. In order to demonstrate these points, several examples are used from the Principal-Teacher Interaction Study being conducted by the Concerns-Based Adoption Model project at the Austin campus of the University of Texas. The examples relate both to what principals do as change facilitators and to the effects of principals' interventions on teachers during the change process. The examples are followed by a discussion of the effects of these interventions on the teachers involved. The paper concludes that the interventions made by the principals did have effects on teachers and teachers' use of an instructional innovation. (Author/MLF)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED220959

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

X This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Leslie L. Huling

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

EFFECTS OF PRINCIPAL INTERVENTIONS ON TEACHERS DURING THE CHANGE PROCESS

Leslie Huling
Gene E. Hall
Shirley Hord

Research and Development Center for Teacher Education
The University of Texas at Austin

EA 014 944

Paper presented at the annual meeting of the
American Educational Research Association
New York City, 1982

EFFECTS OF PRINCIPAL INTERVENTIONS ON TEACHERS DURING THE CHANGE PROCESS[1,2,3]

Leslie Huling
Gene Hall
Shirley Hord
Research and Development Center for Teacher Education
The University of Texas at Austin

Teachers are entitled to and can benefit from instructional leadership as they strive to improve their teaching practice. Most educators agree that the principal should play a key role in providing this leadership. Yet, many people and situations unrelated to instruction compete for a principal's attention during a school day. In fact, the one common element that seems true of almost all principals whether elementary or high school or whether city or small town or suburban is that their workday is very busy and highly unpredictable. There are mandated duties and emergency situations to which a principal must attend that cut into the time over which the administrator has discretionary power. This being the case, how a principal chooses to use his/her discretionary time and resources is largely dependent on the

---

[1]Paper presented at the annual meeting of the American Educational Research Association, New York, March, 1982.

[2]The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education. No endorsement by the National Institute of Education should be inferred.

[3]The authors wish to acknowledge the contributions and participation of their co-workers in this study: Teresa Griffin, Bill Rutherford, Nova Washington, Beulah Newlove, Marcia Goldstein, Terry Needham, Suzie Stiegelbauer and Sue Loucks. We also wish to acknowledge the valuable assistance that has been so willingly given by the principals and teachers who participated in the study.

priorities that he/she sets for himself/herself[4] and the school. Since there is typically not enough time in the day for the principal to be all things to all people, the question of what interventions are made to support improvement becomes the most important set of decisions that the principal has to make.

It is the intent of this paper to point out that it is important for principals to work with teachers for the purpose of improving practice, that the principal has a choice as to what interventions to make in striving toward this goal, and that the effects on teachers are related to the interventions selected. In order to demonstrate these points, several examples from the Principal-Teacher Interaction Study being conducted by the Research and Development Center for Teacher Education at the University of Texas at Austin will be used. These examples are of various types of interventions made by principals in the study, followed by a discussion of the effects of these interventions on the teachers involved.

Related Literature

As was acknowledged in the introduction, it is true that principals are often constrained by an overabundance of rules and regulations and an inadequate amount of time and resources. However, principals do have opportunities and resources which can be used to bring about change in their schools. Sarason (1971) found that principals do have considerable authority, but differ in their knowledge and appreciation of its utility. He further contends that the degree of authority that principals have depends very

---

[4]In order to assist the reader, from this point forward only masculine pronouns will be used when referring to "the principal." The authors are very aware that many school principals are female; this decision was made entirely for the purpose of facilitating the reading of this paper.

heavily on the uses that they were able and willing to make of decision-making opportunities that do exist.

In a similar vein, Isherwood (1973) concluded from his observation of fifteen secondary school principals that opportunities for the development and exercise of "informal authority" seemed to exceed by far the formally designated powers and responsibilities of the principalship. Morris (1981) found from his research that there is much, rather than little, discretion available to the building administrator in education. He further concludes that there is much room at the school site level for flexibility and adaptability in the application of school system policy.

If one accepts the contention that principals do have some authority over how they use their time, resources and power, then the next logical question is, "Will the way in which the principal intervenes make any difference in the quality of instruction in the classroom?" Initial investigation of the literature related to this question seems to reveal much contradictory evidence. However, under closer scrutiny, the literature may not be contradictory, but rather differing veins of research could very well be used to explain each other.

For example, Deal and Celotti (1977; 1980) have suggested that classroom instruction seems to be "virtually unaffected" by organizational and administrative factors. According to them, there is little evidence of administrative influence upon teaching and learning technology. Other researchers including McPartland and Karweit (1979) and Wolf (1979) have come to similar conclusions.

It is possible that this vein of literature can be explained by another vein in which numerous researchers (Wolcott, 1973; Sproull, 1977, 1979;

Peterson, 1978; and Martin, 1980) have found that instructional leadership (i.e., classroom observation, curriculum development, teacher inservice, etc.) is not a central focus of the principalship. If it is true that many principals are not focusing on providing instructional leadership, then it is certainly understandable why some researchers have concluded that the principal does not affect classroom instruction.

Another group of researchers contend that the unit manager (principal) is the key to educational change (Baldridge & Deal, 1975; Berman & McLaughlin, 1978; Brickell, 1961; Miles, 1971; Tye, 1973). In all of these studies there is evidence to suggest that principals are extremely influential in the process of bringing about change in instruction. Unfortunately, documentation about what they actually do on a day-to-day basis to facilitate or hinder that process has been minimal.

Still another vein of related literature, the research on effective schools, is beginning to provide some insight into what principals do that makes them effective. For example, Stoll (1979) compared overachieving and underachieving schools in the state of Florida. In terms of test results in reading, he found that the more effective schools were more likely to have administrators who communicated the importance of reading, worked toward a coordinated reading program, and took steps to provide adequate instructional materials. Hall, Hord and Griffin (1980) found that in schools where the principal appeared to be concerned about teachers' use of a specific innovation, the manner in which the teachers were using the innovation was more consistent within those buildings than it was in schools where principals appeared to be less engaged with the innovation and its use.

Stallings & Mohlman (1981) who were also studying the implementation of a specific program (Effective Use of Time Program) found that in schools with

more supportive principals, more teachers implemented the training program. In this study, principals were rated as supportive when they were perceived: (1) to go out of their way to help teachers; (2) to be constructive in their criticism and to explain reasons for suggesting change in behavior; (3) to share new ideas; (4) to set good examples by being on time and staying late; (5) to be well prepared; and (6) to care for the personal welfare of the teachers.

Little (1980) who was studying urban schools with above average achievement test scores found that successful schools had principals that support collegiality and experimentation among teachers. These successful principals used such actions as announcing expectations, modeling or enacting desired behaviors, rewarding appropriate behaviors, and defending or protecting teachers in their efforts to work together and experiment.

These recent studies are offering much needed insight into the activities of principals. However, they tend to focus on a general level and do not provide the level of specificity needed by practitioners for planning and implementing change. One study that is breaking "set" and looking at what principals specifically do in relation to instructional change in their schools is the Principal-Teacher Interaction (PTI) Study being conducted by the Concerns-Based Adoption Model (CBAM) Project at the Research and Development Center for Teacher Education at the University of Texas at Austin.

Principal-Teacher Interaction Study

To provide assistance so badly needed by practitioners, the CBAM Project has been engaged in a study of principals and teachers as they are involved in change (PTI Study). The goal is development of a more complete understanding about the relationship between initial assessments that can be made using CBAM

diagnostic tools, the interventions that respond to needs identified through assessment, and the post-intervention effects. Specifically, the study examines principals as change facilitators--their personal and role characteristics and their intervention behaviors, with pre- and post-intervention evaluation of the effects of their interventions on teachers. One unique strength of research using dimensions of the CBAM is that several tools exist for measuring change at the individual level. Also, intervention effects can be evaluated by use of the same measures employed in the pre-intervention diagnoses, thus, multiple uses can be made of the same data.

In preparation for the PTI study, a secondary analysis was made of the data from an earlier study. Case studies were developed for nine schools in the Jefferson County, Colorado science implementation effort (Hall, Hord & Griffin, 1980). In addition, an extensive review of the literature was initiated to identify concepts, models and findings that would help support or refute the basic hypotheses of the PTI study--that principals do vary in their behaviors and this does make a difference in terms of teacher change.

Clearly, for an extended period of time the literature has emphasized the importance of the principal. What is not so clear from the literature is exactly what principals <u>do</u> on a day-to-day basis as they are involved in implementation. Also, it is not clear what the consequences of principals' actions are for teachers at the individual level, as they are involved in implementing specific innovations. It appeared that the CBAM diagnostic concepts of Stages of Concern, Levels of Use and Innovation Configurations could be used as indicators for assessing the effects of principals' actions in their change facilitator role.

Thus, a study was launched. The basic design of the study was developed, negotiations were begun with a series of school districts about conducting the

study in their settings, and a pilot study was conducted in central Texas involving 10 elementary schools.

Study Design

The PTI study focuses on principals and their teachers as they are involved in implementing new instructional practices. Three districts were selected based on whether their schools were in their first, second or third year of implementation as of September, 1980. In each district three schools, providing a total of 9 schools, were selected based on the leadership style of their principal. The principals were identified by district administrators as being one of three hypothesized leadership styles based on concerns (Hall, Rutherford & Griffin, 1982). All teachers who were potential users of the innovation were asked to participate.

Study Questions

The PTI study focuses on three primary questions:

1. What do principals do as change facilitators?
2. How do the concerns of principals affect their functioning as change facilitators?
3. What is the relationship between administrator concerns, the interventions they make and their effects on teachers?

This paper includes examples related to Question 1 and one aspect of Question 3, the effects of principal's interventions on teachers during the change process.

Intervention Data Gathering and Analysis

A procedure which included a combination of principal logs, on-site intervention interviews and bi-weekly telephone calls to principals by R&D personnel was used to document interventions and their effects. Principals and assistant principals were the major source of intervention data at their

schools. Additional intervention data were also collected from teachers, on-site resource teachers, district resource specialists and other district administrators. Each of these specific interventions is being studied using a sophisticated codification scheme for anlaysis of interventions (Hord, Hall, & Zigarmi, 1980; Hord & Hall, 1982).

Interventions and Their Effects

In this section, several examples of interventions will be described along with a discussion of their effects on teachers. The specific examples included were selected for several reasons. One reason is that these examples clearly demonstrate that principals can and do make a difference in terms of affecting teachers and their use of an instructional innovation. Also, one example demonstrates how a principal used various data sources available to help plan interventions, and another example shows how another principal used input from teachers in order to arrange for effective inservice.

The examples were also selected to represent different levels of interventions. In "A Taxonomy of Interventions: The Prototype and Initial Testing," Hall, Zigarmi and Hord, (1979) discuss various levels of interventions. The examples in this paper represent three intervention levels: incidents, tactics and strategies. For purposes of clarity, the following definitions are useful.

> An <u>intervention</u> is an action or event that influences use of an innovation.[5]

---

[5] A process or product that is new to a potential user is considered an innovation.

An incident is a singular occurrence of an action or event.

It is the smallest intervention unit. A tactic is an aggregation of incident interventions that, in combination have an effect that is different from the effects of the individual incidents.

A strategy is a major part of the design for implementing an innovation. It is based on a set of implicit and/or explicit assumptions and theory about how people and organizations function. A strategy translates assumptions and theory into action.

In the Principal-Teacher Interaction Study, interventions are organized or mapped by site in a manner that demonstrates how related incidents build to a tactic, and how tactics sometime combine to make a strategy. This mapping procedure is a useful tool in organizing the numerous interventions in a logical manner that reflects how the principal functions in various areas as a change facilitator.

Incident Level Interventions

In order to demonstrate the effects of an incident level intervention the examples of a principal making a classroom observation will be used to show how three principals intervened differently, leading to different effects on teachers. The principal observing a teacher is classified as an incident. If the principal gives the teacher feedback, this act becomes another incident. It is this set of incidents related to teacher feedback that we wish to discuss first.

No Suggestions

One principal who admitted to us that he was uncomfortable doing classroom observations observed one of his teachers teaching the district's science curriculum and found everything to be to his satisfaction. After the observation, he told the teacher that he thought everything went well and that he had no suggestions for improvement. When questioned about the observation

several months later, the teacher first told us that she had not been observed by the principal. When questioned further, she said that she wasn't sure if she had been observed, but that if she had, everything must have been fine. In this instance, the principal chose a feedback intervention that was not very powerful; the teacher was affected very little or not at all. The principal's intervention may have been appropriate, but on the other hand, the principal may have missed an opportunity to help this teacher improve her use of the innovation. If, in fact, everything was operating exactly as it should have been, perhaps the principal should have made more ado of praising and reinforcing the teacher for the outstanding job she was doing.

Identifying Weaknesses

Another principal in the same district made a habit of observing his teachers, using the component checklist that had been devised for the innovation, the science curriculum. After he observed a teacher, he would use the checklist as a guide for the discussion in the feedback session following the observation. By using the checklist, the principal would comment both on the teacher's strengths and weaknesses and would encourage the teacher to work to improve the weaker areas. The teachers in this school were fairly consistent in what they reported to us about the principal's observation. Generally, each teacher would say that the principal observed the class and completed a checklist as he observed. Then the two of them discussed the checklist and talked about areas that needed improvement. The teacher would describe to us the areas that they discussed as needing improvement and could generally give examples of how he or she tried to improve one or more of these areas. In this instance, the principal chose to use a structured format in providing each teacher with feedback and in most cases, the teacher responded to the feedback by attempting to improve his or her teaching.

Planning for Improvement

Another principal in another district which is implementing a writing composition program observed his teachers regularly and for extended periods of time. During each observation the principal checked to see if all parts of the innovation were being used and observed the teaching style and techniques being used by the teacher. After each observation, he provided the teacher with written feedback. After the teacher had had the opportunity to read the principal's comments, the two of them met to discuss the observation and talked about areas that needed improvement and ways that this improvement could occur. The principal then asked the teacher to provide him with specific written plans on changes that he or she intended to make. The principal then used what the teacher had provided him as a guide during the next observation to measure how much progress the teacher had made.

By selecting this particular feedback procedure, this principal made sure that his teachers knew exactly what was expected of them. In short, the principal "demanded" improvement. He had a positive relationship with his faculty members, but everyone on the faculty knew and accepted that at this school they were expected to constantly strive for improvement and to teach in ways that were consistent with the school (i.e. the principal's philosophy). The combined effects of this principal's interventions on teachers were that teachers in the school knew what was expected of them, they were given assistance by the principal in planning for improvement, and they worked extra hard to deliver what was agreed that was needed.

These three examples of alternative ways of observing and providing feedback demonstrate that the principal does have a choice in how he intervenes and that different interventions will result in different effects on teachers. In the first example, the teacher was affected very little. In

the second example, the teacher became aware of what areas needed improvement, but was more or less left on his own to find ways of improving. In the third example, the teacher was given assistance in planning for improvement and actually made an individual commitment to take specific actions toward this end. These examples are also indicative of the three hypothesized change facilitator styles being proposed by the CBAM project (Hall, Rutherford & Griffin, 1982).

A Complex Tactic

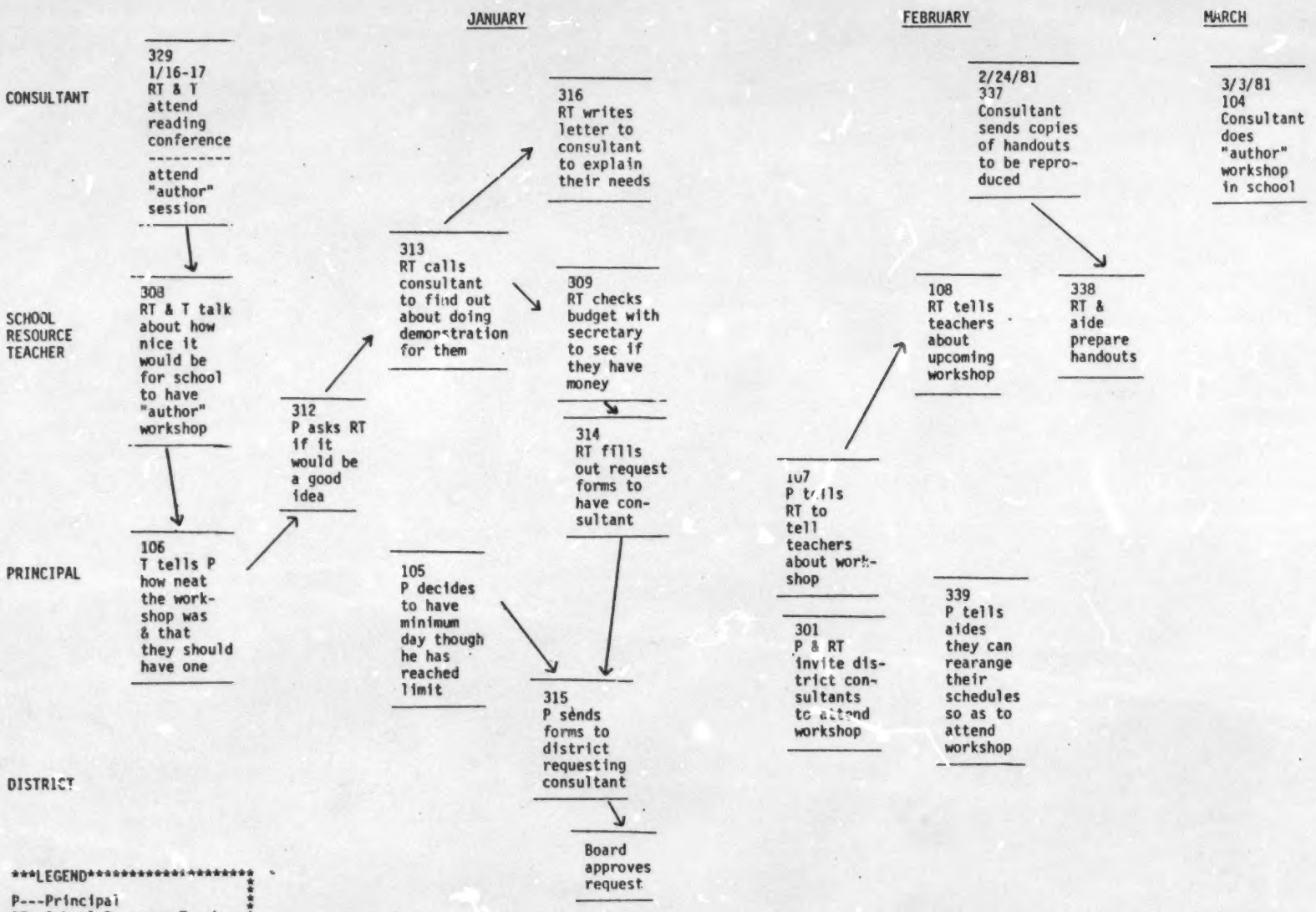
A more complex example of the importance of the principal's interventions can be illustrated by describing how one study school came to have a special workshop. This school was in its first full year of implementing a writing composition program. The resources, district policies and workshops sponsored by the district all emphasized the importance of students writing daily and writing in all of the "domains."

The school resource teacher and a sixth grade teacher attended a reading conference at a nearby college. At that conference they attended a session in which the presenter described how students could write and publish their own books. The two teachers were very excited about the presentation and discussed how beneficial it would be if the presenter could come to their school and conduct the same workshop.

They went to the principal and a whole set of incident interventions unfolded resulting in a special "author" workshop in the school six weeks later. The map of incident interventions that have been identified are presented as Figure 1. In total they represent one complex tactic intervention. Some of the incident interventions can be used to illustrate the role and influences that this "initiator" principal carried out.

Figure 1:

Complex Tactic: School Has Special Consultant-Lead Workshop


JANUARY
FEBRUARY
MARCH
CONSULTANT
SCHOOL RESOURCE TEACHER
PRINCIPAL
DISTRICT
329 1/16-17 RT & T attend reading conference ---------- attend "author" session
316 RT writes letter to consultant to explain their needs
2/24/81 337 Consultant sends copies of handouts to be reproduced
3/3/81 104 Consultant does "author" workshop in school
313 RT calls consultant to find out about doing demonstration for them
309 RT checks budget with secretary to see if they have money
108 RT tells teachers about upcoming workshop
338 RT & aide prepare handouts
308 RT & T talk about how nice it would be for school to have "author" workshop
312 P asks RT if it would be a good idea
314 RT fills out request forms to have consultant
107 P tells RT to tell teachers about workshop
106 T tells P how neat the workshop was & that they should have one
105 P decides to have minimum day though he has reached limit
315 P sends forms to district requesting consultant
301 P & RT invite district consultants to attend workshop
339 P tells aides they can rearange their schedules so as to attend workshop
Board approves request
LEGEND
P---Principal
RT--School Resource Teacher
T--Teacher(s)

In intervention No. 308 the first request to have this workshop came to the principal from the sixth grade teacher who had attended the reading conference. Rather than making an immediate decision, the principal checked with the resource teacher to see what she thought about the idea (intervention No. 312). He then charged the resource teacher with exploring what would be needed for the consultant and checking to see if the school budget could afford a consultant. Note that the principal allowed the school resource teacher to enter into negotiations with an unknown consultant and to review school budgets.

In interventions No. 314 and 315 the principal got back in the action to approach the district for approval to have the workshop. The school had already had its quota of early dismissal days for the school year. However, the principal did not think that the teachers should have to come in on a Saturday or have to stay after school for the workshop, so he requested the workshop be conducted by having an early dismissal day for students. When we asked the resource teacher how the princpal was able to accomplish this breach of policies, she reported, "He just did it. I don't know how he did it." From an interview with the principal it was revealed that he had calculated that no one would be watching a routine request that closely, so he just sent it through regular channels with the predicted result, the board approved it.

The action was shifted back to the school resource teacher to tell teachers about the workshop and to prepare for it. District persons were invited to attend and the principal told the aides that they could rearrange their schedules so that they could attend the workshop on paid time. This intervention (No. 339) was interesting in that the principal was typically adamant about getting a day's work for a day's pay. The implication is that the principal believed that supporting the aides' attendance and encouraging

collegiality between all members of the staff was a better investment than requiring aides to do their regular work during those hours.

The author workshop was considered a big success in that all of the participants found it useful and several teachers immediately tried ideas that the consultant suggested. Shortly after the workshop, the principal excitedly reported to us that the workshop was "fantastic."

In this one complex tactic a series of incidents have been identified that illustrate the crucial facilitating role that principals can take. This principal supported the idea of a special workshop that was first suggested by a teacher. The principal "bent" regulations in order to provide the most optimal conditions for conducting the workshop. The principal left major responsibility for consultant negotiations and preparation to the school resource teacher, but there were constant "check backs" to him built into the process. The principal also saw to it that all staff and key district people knew about and were encouraged to attend the workshop.

Strategy Examples

In these two strategy examples the principal directs her energy and attention, and that of the assistant principal and resource teacher, toward one component of a new math curriculum. The strategies extended in time across the entire second school year of implementation and in one way or another impacted all teachers.

The situation. In a school system characterized by a great deal of pupil transfer within the district, a mathematics curriculum was developed and adopted. This curriculum provides a consistent program of mathematics instruction for pupils in all grades and consists of program objectives, a textbook and instructional materials including a Supplemental Kit, testing materials and record keeping procedures. At the close of the first year of

using the new program, teachers, while commenting that using the new program was difficult, were satisifed that the curriculum was a good one for children and looked forward to next year being easier.

The stimulation. As part of their participation in the research study, teachers had agreed to permit data gathered in the study about them to be shared with the principal. Therefore, baseline data that were collected at the end of their first year of implementation were organized into a report and sent to the principal. The report contained information about the teachers' configuration of the math program, in addition to their SoC and LoU. These data were obtained from use of three CBAM assessment tools (see page 6). In addition, a general feedback letter was to be sent as a brief report to teachers after each data collection point. The first teacher feedback letter was received in the following September and summarized the teachers' implementation of the program at the close of the first year of use in May.

This letter reported for one thing, that many teachers felt the Supplemental Kits required a great deal of preparatory work before they could be used, and they were useful only with a few children at a time. However, many described some intentions to try to incorporate more use of the kits next year. When the principal read this letter, she brought it to the attention of the assistant principal and resource teacher and asked them to study the letter and be ready to discuss what might be done to help teachers.

Several days later, the report of CBAM assessment data (SoC, LoU, IC) collected from teachers in May was received by the principal. Again, she met with the assistant principal, gave him the data to study and asked him to prepare to discuss it.

The strategies. It was quite clear to the three school administrators (principal, assistant principal, resource teacher) from reading the teachers'

feedback letter and examining the CBAM data that teachers were generally not using the Supplemental Kits (see Table 1). The principal reasoned that the first year of implementation had been devoted to implementing the text and objectives and the management system (tests and record keeping), all of which "were quite enough for teachers to handle in one year." Thus, the second year emphasis would be focused on the kits, an important instructional resource since they contained materials for use with program objectives not contained in the textbook.

The principal focused the administrative team's attention on encouraging and reinforcing teachers' use of the kits. As a result of two meetings to consider the use of kits, two general strategies (see Figure 2) were identified:

Strategy A: Teachers are supported in preparing their kits for use.

Strategy B: Teachers are provided with training in use of the kits.

It is very difficult to determine precisely which person of the three member team generated the various interventions which were carried out. In reporting the interventions to the researcher, the administrators typically gave the credit for creating the interventions to their team mates. This is a highly interactive team, so this behavior is understandable, though it makes it difficult to be certain about when an idea was being initiated by the principal. What was entirely clear was that the principal pushed her team to come up with ideas and was always looked to for approval. The principal very frequently delegated activities but only after they were fully discussed and clearly understood. Her expectations were clearly explicated and she followed up delegation with monitoring activities, keeping her fingers on the pulse and staying informed about what the assistant principal and resource teacher were doing. A consensus of all persons in the school was that the principal knew

Table 1

Extent of Use of Supplemental Kits
by Original Sample of Teachers

Spring 1980		Spring 1981
8	Not using	3
6	Uses a little/some/few items	2
2	Uses 25% of time	1
1	Uses a great deal	11

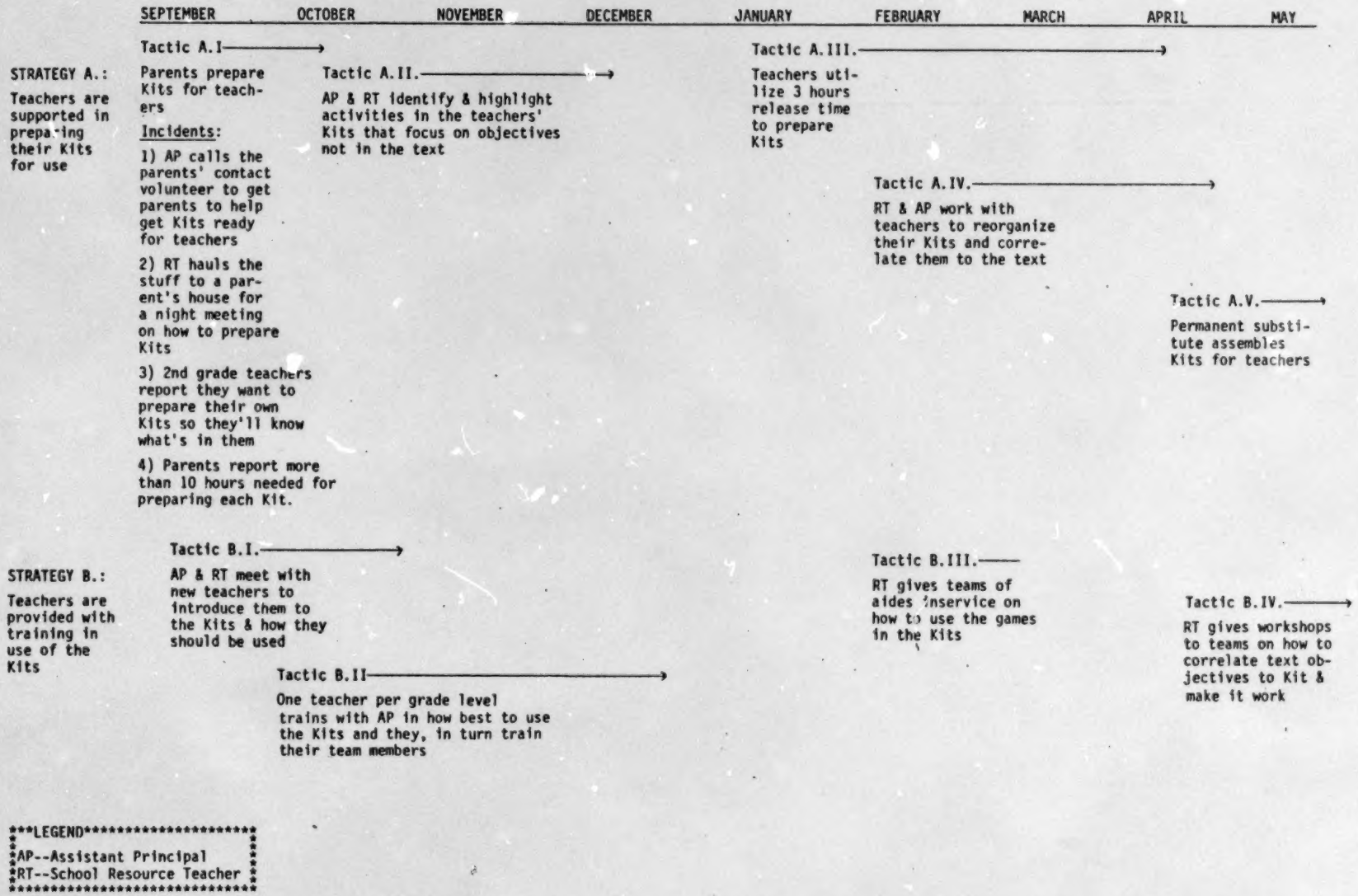
Extent of Use of Supplemental Kits
By Sample of New Teachers*
Added in Fall 1980

Spring 1980		Spring 1981
7	Not using	2
	Uses a little/some/few items	1
	Uses 25% of time	
	Uses a great deal	4

*Teachers new to the school and math in fall of 1980, thus, they were all unfamiliar with, and not using, kits.

Figure 2

Strategy/Tactics Time Line, Year 2


SEPTEMBER
OCTOBER
NOVEMBER
DECEMBER
JANUARY
FEBRUARY
MARCH
APRIL
MAY
STRATEGY A.:
Teachers are supported in preparing their Kits for use
Tactic A.I
Parents prepare Kits for teachers
Incidents:
1) AP calls the parents' contact volunteer to get parents to help get Kits ready for teachers
2) RT hauls the stuff to a parent's house for a night meeting on how to prepare Kits
3) 2nd grade teachers report they want to prepare their own Kits so they'll know what's in them
4) Parents report more than 10 hours needed for preparing each Kit.
Tactic A.II.
AP & RT identify & highlight activities in the teachers' Kits that focus on objectives not in the text
Tactic A.III.
Teachers utilize 3 hours release time to prepare Kits
Tactic A.IV.
RT & AP work with teachers to reorganize their Kits and correlate them to the text
Tactic A.V.
Permanent substitute assembles Kits for teachers
STRATEGY B.:
Teachers are provided with training in use of the Kits
Tactic B.I.
AP & RT meet with new teachers to introduce them to the Kits & how they should be used
Tactic B.II
One teacher per grade level trains with AP in how best to use the Kits and they, in turn train their team members
Tactic B.III.
RT gives teams of aides inservice on how to use the games in the Kits
Tactic B.IV.
RT gives workshops to teams on how to correlate text objectives to Kit & make it work
LEGEND**
AP--Assistant Principal
RT--School Resource Teacher

"what was going on in the school." In order to operationalize the two strategies the principal's team employed a number of tactics at various periods across the second implementation year (see Figure 2).

Strategy A responded to the condition in which the kits were delivered to teachers: in need of cutting, sorting, laminating, organizing and ordering. In short, when teachers received the kits, they were not ready to be used. The first tactic, A.I., engaging parents, was an effort to make the kits ready for teachers' use without further overloading the teachers at the beginning of the school year. Under Tactic A.I., note that a number of incidents related to this tactic are included. These are examples of incidents which typically occurred around a tactic and are included here for illustrative purposes. Incidents related to other tactics are omitted from the figure for the purpose of brevity--and to focus attention on the strategy/tactic level interventions. Tactic A.I. was employed from early September to late October and resulted in kits being made ready for use by some of the teachers. As kits became ready in late October, Tactic A.II. was engaged. This intervention was an undertaking which resulted in "flagging" significant activities in the kit that provided instructional material for curriculum objectives not covered by the textbook. This was a complex endeavor, affecting all teachers at all grade levels.

Because a number of teachers wanted to prepare their own kits, in order to learn about the contents, Tactic A.III. was planned by the principal. This intervention provided a three hour block of release time (from classroom duties) so teachers could work on their kits. The principal sent a memo announcing the availability of this time; teachers responded and the permanent subsitute's schedule was arranged to provide the requested release time.

Tactic A.IV. entailed having the resource teacher and assistant principal work with teachers to organize the kit materials and correlate them with the program and textbook objectives. This idea originated from one of the teachers in the building and was endorsed and encouraged by the principal. As the school year was approaching its end, a final effort at getting the kits ready for teachers use was made by arranging for the permanent substitute to assemble kits when she was not otherwise engaged in teaching for absent faculty.

Strategy B accompanied Strategy A so that teachers could be trained in using the kits which were being prepared. For example, each new teacher met with the assistant principal or resource teacher to be introduced to the kit in an awareness or overview session. This was Tactic B.I. At a different level of training, Tactic B.II. employed the assistant principal as a trainer. He would train one teacher from each grade level team, who would serve as a "turn key" trainer and teach the remaining members of the team. For this intervention to work, a number of other things had to happen: the principal announced the plan, each teaching team identified a person to be trained, the assistant principal had to learn the contents and instructional techniques of the box for each grade level, the teachers-to-be-trained were scheduled, and the permanent substitute had to arrange time to release each of the teachers. All of these incident level interventions contributed to the enactment of Tactic B.II. This tactic spread across the fall semester.

Beginning in early February the resource teacher was encouraged to provide training to the teachers' aides. This she did through leading inservice sessions on how to use the games in the kit. Tactic B.III. was designed to promote more kit exposure to teachers in the classrooms.

In May, the idea of correlating the text and program objectives with the kit was revisited in Tactic B.IV. This tactic focused on teaching teachers how to integrate these sources for instruction, as contrasted with Tactic A.IV which focused on making the materials more manageable.

Teachers volunteered many comments about the principal's emphasis on the kits during the second year. It was clear that everyone recognized that use of the kits was a priority goal of the principal, who consistently promoted their use in many ways across time. As one teacher succinctly put it, "Due to extra emphasis on kits this year, we're using them more." And indeed they were. Contrasting the data (in Table 1) of Spring 1980 with Spring 1981 a great deal of change occurred. It was not possible to determine which tactics or strategies were most influential. What can be observed is that all of the tactics and strategies collectively contributed to more use of kits by teachers. These actions were designed in response to data provided to the principal and occurred as a result of administrative team sharing, generating of ideas, planning and participating in the delivery of the interventions. Through the team the principal exercised "presence" and impact.

Discussion/Implications

Principals do have the resources and opportunities to make interventions which can affect teachers' use of instructional innovations. There are ways of structuring the interventions principals make and analyzing the effects of these interventions on teachers during the change process. The methods of documenting and analyzing interventions described in this paper are not only useful for research purposes but also for practitioners themselves, to use to plan interventions and to study the effects of their actions. The examples described in this paper demonstrate that effective interventions do

not have to be time-consuming and cumbersome for the administrator. In addition, many responsibilities related to supporting use of an innovation can be delegated quite effectively by the principal as is clearly demonstrated by two of the examples included. In some instances it is necessary to intervene in several different areas in order to achieve a single goal.

Another point that should be emphasized is the need for principals to use the data sources available to them. In the case of the principal who was supporting teachers use of the kits, the principal might not have become aware that teachers were not using the kits had it not been for the formal data that was provided to her. In many cases, information is not readily apparent to principals in their day-to-day activities and can only be gathered through formal data-gathering methods.

The examples included in this paper are from a data base of more than 2,000 interventions. In each instance, the principal had a choice about whether to intervene and how to intervene. The examples presented, along with numerous others in the data base, clearly show that the interventions made by the principal did have effects on teachers and their use of an instructional innovation. Principals can and do make a difference with the interventions that they make. Those who focus on matters other than instruction no doubt affect the areas in which they concentrate; those who focus on instructional leadership make a difference in the teaching and learning that occurs in classrooms.

References

Baldridge, J. V., & Deal, T. E. Managing change in educational organizations. Berkley: 1975.

Berman, P., & McLaughlin, M. W. Federal programs supporting educational change, Vol. III: Implementing and sustaining innovations. Santa Monica: The Rand Corp., 1978.

Brickell, J. Organizing New York State for change. Albany: State Education Dept., 1961.

Deal, T. E., & Celotti, L. D. How much influence do (and can) educational administrators have on classrooms? Pni Delta Kappan, March, 1980, 61(7), 471-473.

Deal, T. E., & Celloti, L. D. Loose coupling and school administrators: Some recent research findings. Stanford: Center for Educational Research, 1977.

Goldstein, M., & Rutherford, W. L. Methodologies for documenting interventions. Paper presented at the annual meeting of the American Educational Research Association, New York, 1982.

Griffin, T., Goldstein, M. & Hall, G. E. A pilot test of methods for documenting principal interventions. Paper presented at the annual meeting of the Southwest Educational Research Association, Dallas, 1981.

Hall, G. E., Hord, S. M., & Griffin, T. Implementation at the school building level: The development and analysis of nine mini-case studies. Paper presented at the annual meeting of the American Educational Research Association, Boston, 1980.

Hall, G. E., Rutherford, W. L., & Griffin, T. Three change facilitator styles: Some common indicators and a proposed framework. Paper presented at the annual meeting of the American Educational Research Association, New York, 1982.

Hall, G. E., Zigarmi, P., & Hord, S. M. A taxonomy of interventions: The prototype and initial testing. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, 1979.

Hord, S. M. Analyzing administrator intervention behaviors. Paper presented at the annual meeting of the Southwest Educational Research Association, Dallas, 1981.

Hord, S. M., & Hall, G. E. Quantitative analysis of change facilitator interventions. Paper presented at the annual meeting of the American Educational Research Association, New York, 1982.

Hord, S. M., Hall, G. E., & Zigarmi, P. Anatomy of incident and tactic interventions dimensions, design. Paper presented at the annual meeting of the American Educational Research Association, Boston, 1980.

Isherwood, E. G. The principal and his authority: An empirical study. High School Journal, March, 1973, (56), 291-303.

Little, J. W. School success and staff development in urban desegregated schools. Report prepared for the National Institute of Education. Boulder, Colorado: Center for Action Research, 1981.

Martin, W. J. The managerial behavior of high school principals. Unpublished doctoral dissertation, Pennsylvania State University, 1980.

McPartland, J. M., & Karweit, N. Research on Educational Effects. In H. J. Walberg (Ed.), Educational environments and effects. Berkley: McCutchan Publishing Corp., 1979.

Miles, M. B. (Ed.). Innovation in education. New York: Columbia University, 1971.

Morris, V. C. The urban principal: Discretionary decision-making in a large educational organization. Chicago: University of Illinois, 1971.

Peterson, K. D. The principal's task. Administrator's Notebook, 1978-79 27(3) 1-4.

Rutherford, W. L. The interventions and plans principals made when facilitating change. Paper presented at the annual meeting of the Southwest Educational Research Association, Dallas, 1981

Sarason, B. The culture of the school and the problem of change. Boston: Allyn and Bacon, Inc., 1971.

Sproull, L. S. Management attention in new education programs: A micro-behavioral study of program implementation. Unpublished doctoral dissertation, Stanford University, 1977.

Sproull, L. S. Managing education programs: A micro-behavioral analysis. Unpublished manuscript, 1979.

Stallings, J., & Mohlman, G. School policy, leadership style, teacher change and student behavior in eight secondary schools. Report prepared for the National Institute of Education. Mountain View, California: Stallings Teaching and Learning Institute, 1981.

Stoll, L. S. Reading program administration: Does it make a difference? Administrator's Notebook, 1978-79, 27(3), 1-4.

Tye, K. A. The elementary school principal: Key to educational change. In C. M. Culver & G. J. Hoban (Eds.), The power to change: Issues for the innovative educator. New York: McGraw-Hill Book Co., 1973.

Wolcott, H. F. The man in the principal's office. New York: Holt, Rinehart, and Winston, 1973.

Wolf, R. M. Achievements in the United States. In H. J. Walberg (ed.), Educational environments and effects. Berkeley: McCutchan Publishing Corp., 1979.